

# PATENT COOPERATION TREATY

# PCT

## INTERNATIONAL SEARCH REPORT

(PCT Article 18 and Rules 43 and 44)

Applicant's or agent's file reference 5199-169PCT	<b>FOR FURTHER ACTION</b> <small>see Form PCT/ISA/220 as well as, where applicable, item 5 below.</small>	
International application No. PCT/US05/05166	International filing date ( <i>day/month/year</i> ) 18 February 2005 (18.02.2005)	(Earliest) Priority Date ( <i>day/month/year</i> ) 26 February 2004 (26.02.2004)
Applicant THE TRUSTEES OF COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK		

This international search report has been prepared by this International Searching Authority and is transmitted to the applicant according to Article 18. A copy is being transmitted to the International Bureau.

This international search report consists of a total of 4 sheets.



It is also accompanied by a copy of each prior art document cited in this report.

**1. Basis of the Report**

a. With regard to the **language**, the international search was carried out on the basis of:



the international application in the language in which it was filed.



a translation of the international application into \_\_\_\_\_, which is the language of a translation furnished for the purposes of international search (Rules 12.3(a) and 23.1(b))

b. ☐ With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, see Box No. I.

2. ☒ **Certain claims were found unsearchable** (See Box No. II)

3. ☒ **Unity of invention is lacking** (See Box No. III)

4. With regard to the **title**,



the text is approved as submitted by the applicant.



the text has been established by this Authority to read as follows:

5. With regard to the **abstract**,



the text is approved as submitted by the applicant.



the text has been established, according to Rule 38.2(b), by this Authority as it appears in Box No. IV. The applicant may, within one month from the date of mailing of this international search report, submit comments to this Authority.

6. With regard to the **drawings**,

a. the figure of the **drawings** to be published with the abstract is Figure No. \_\_\_\_\_



as suggested by the applicant.



as selected by this Authority, because the applicant failed to suggest a figure.



as selected by this Authority, because this figure better characterizes the invention.

b. ☒ none of the figures is to be published with the abstract.

Form PCT/ISA/210 (first sheet) (April 2005)

Applicants: Thomas M. Jessell, et al.  
Serial Number: 10/789,308  
Filing Date: February 26, 2004  
**Exhibit 57**

# INTERNATIONAL SEARCH REPORT

International application No.

PCT/US05/05166

## Box No. II Observations where certain claims were found unsearchable (Continuation of item 2 of first sheet)

This international search report has not been established in respect of certain claims under Article 17(2)(a) for the following reasons:

1. ☐ Claims Nos.:  
because they relate to subject matter not required to be searched by this Authority, namely:
2. ☒ Claims Nos.: 13, 15, 27,29,37 and 39  
because they relate to parts of the international application that do not comply with the prescribed requirements to such an extent that no meaningful international search can be carried out, specifically:  
Please See Continuation Sheet
3. ☐ Claims Nos.:  
because they are dependent claims and are not drafted in accordance with the second and third sentences of Rule 6.4(a).

## Box No. III Observations where unity of invention is lacking (Continuation of item 3 of first sheet)

This International Searching Authority found multiple inventions in this international application, as follows:  
Please See Continuation Sheet

1. ☐ As all required additional search fees were timely paid by the applicant, this international search report covers all searchable claims.
2. ☐ As all searchable claims could be searched without effort justifying additional fees, this Authority did not invite payment of any additional fees.
3. ☐ As only some of the required additional search fees were timely paid by the applicant, this international search report covers only those claims for which fees were paid, specifically claims Nos.:
4. ☒ No required additional search fees were timely paid by the applicant. Consequently, this international search report is restricted to the invention first mentioned in the claims; it is covered by claims Nos.: 1-12,14, 16-26,28,30-36,38 and 40-42

### Remark on Protest

☐

The additional search fees were accompanied by the applicant's protest and, where applicable, the payment of a protest fee.

☐

The additional search fees were accompanied by the applicant's protest but the applicable protest fee was not paid within the time limit specified in the invitation.

☐

# INTERNATIONAL SEARCH REPORT

International application No.

PCT/US05/05166

## A. CLASSIFICATION OF SUBJECT MATTER

IPC: C12N 5/02( 2006.01), 5/06( 2006.01), 5/08( 2006.01)

USPC: 435/377, 325, 364, 365

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

U.S. : 435/377, 325, 364, 365

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)  
Medline

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	CARPENTER, M.K. et al. Enrichment of neurons and neural precursors from human embryonic stem cells. Exp Neurol. December 2001 Vol. 172, No. 2, pages 383-397. Whole document, especially page 386, left column, first paragraph.	1, 3, 4, 10, 11, 14, 16, 18-24, 26, 28, 30, 32-36, 38, 40-42
X	US 2002/0151056 A1 (SASAI et al.) 17 October 2002 (17.10.2002), [0023], claims 13, 14, 56-59 [0105], [0176-0198]	1-9, 11, 14, 16-23, 28, 30-33, 36, 38, 40-42

☐ Further documents are listed in the continuation of Box C.

☐ See patent family annex.

\* Special categories of cited documents:

"A" document defining the general state of the art which is not considered to be of particular relevance

"E" earlier application or patent published on or after the international filing date

"L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)

"O" document referring to an oral disclosure, use, exhibition or other means

"P" document published prior to the international filing date but later than the priority date claimed

"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention

"X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone

"Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art

"&" document member of the same patent family

Date of the actual completion of the international search

30 April 2007 (30.04.2007)

Name and mailing address of the ISA/US

Mail Stop PCT, Attn: ISA/US  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Facsimile No. (571) 273-3201

Date of mailing of the international search report

Authorized officer

Daniel C. Gamett, PhD

Telephone No. 571 272 1600

# INTERNATIONAL SEARCH REPORT

International application No.  
PCT/US05/05166

## Continuation of Box II Reason 2:

Claim 13, 27, 29, 37, 39 are objected to as lacking clarity under PCT Rule 66.2(a)(v) because the claim are not fully supported by the description. The application, as originally filed, did not describe: Any modulator identified by any of the claimed methods.

## BOX III. OBSERVATIONS WHERE UNITY OF INVENTION IS LACKING

This application contains the following inventions or groups of inventions which are not so linked as to form a single general inventive concept under PCT Rule 13.1. In order for all inventions to be examined, the appropriate additional examination fees must be paid.

Group I, claim(s) 1-12, 14, 16-26, 28, 30-36, 38 and 40-42, drawn to an in vitro system and methods for identifying a modulator of neural differentiation.

Group II, claim(s) 43-52, and claim 67, in part, drawn to methods for identifying a modulator of an FGF signaling pathway.

Group III, claim(s) 53-66, and claim 67, in part, drawn to methods for identifying a modulator of a retinoid signaling pathway.

The inventions listed as Groups I-III do not relate to a single general inventive concept under PCT Rule 13.1 because, under PCT Rule 13.2, they lack the same or corresponding special technical features for the following reasons:

Group I recites the special technical feature, neural differentiation, which is not required by the methods of Groups II or III.

Group II recites the special technical feature, modulator of an FGF signaling pathway, which is not required by the methods of Groups I or III.

Group III recites the special technical feature, modulator of a retinoid signaling pathway, which is not required by the methods of Groups I or II.